

Brokstock SA (Pty) Limited
PROMOTION OF ACCESS TO INFORMATION ACT MANUAL
(PAIA manual)

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Table of Contents

Contents

1. INTRODUCTION.....	3
2. PURPOSE OF THE PAIA MANUAL.....	3
3. THE INFORMATION REGULATOR.....	4
4. LIST OF ACRONYMS AND ABBREVIATIONS.....	4
5. FUNCTIONALITY OF THE PAIA MANUAL.....	5
6. KEY CONTACT DETAILS FOR ACCESS TO INFORMATION.....	6
7. GUIDE ON HOW TO USE PAIA AND HOW TO OBTAIN ACCESS TO THE GUIDE.....	7
8. CATEGORIES OF INFORMATION OF WHICH ARE AVAILABLE WITHOUT A PERSON HAVING TO REQUEST ACCESS.....	9
9. DESCRIPTION OF THE INFORMATION OF WHICH ARE AVAILABLE IN ACCORDANCE WITH ANY OTHER LEGISLATION.....	9
10. DESCRIPTION OF THE INFORMATION ON WHICH THE BODY HOLDS RECORDS AND CATEGORIES OF RECORDS HELD ON EACH SUBJECT.....	10
11. PROCESSING OF PERSONAL INFORMATION.....	11
12. THE RECIPIENTS OR CATEGORIES OF RECIPIENTS TO WHOM THE PERSONAL INFORMATION MAY BE SUPPLIED.....	12
13. PLANNED TRANSBORDER FLOWS OF PERSONAL INFORMATION.....	12
14. GENERAL DESCRIPTION OF INFORMATION SECURITY MEASURES TO BE IMPLEMENTED TO ENSURE THE CONFIDENTIALITY, INTEGRITY AND AVAILABILITY OF THE INFORMATION.....	12
15. PROCEDURE FOR REQUESTING ACCESS TO INFORMATION.....	13
16. FEES ASSOCIATED WITH PAIA REQUESTS.....	14
17. GROUNDS TO REFUSE PAIA REQUESTS.....	15
18. PAIA FORMS.....	16
19. INFORMATION REGULATOR REGISTRATION CERTIFICATE.....	16
20. AVAILABILITY OF THE PAIA MANUAL.....	16
21. DOCUMENT OWNERSHIP AND REVISION PROTOCOL.....	16

1.INTRODUCTION

1.1 Brokstock SA (Pty) Limited (herewith "Brokstock", the "Company" or "We") is incorporated under the laws of South Africa and is registered by the Companies and Intellectual Property Commission (CIPC) with registration number 2020/523823/07.

1.2 BROKSTOCK is a brand name operated by Brokstock SA (Pty) Ltd, a company incorporated and registered under the laws of South Africa and an investment firm regulated by the Financial Sector Conduct Authority ("FSCA") with license number 51404.

2. PURPOSE OF THE PAIA MANUAL

2.1 In South Africa, the **PAIA Manual (Promotion of Access to Information Act Manual)** serves to facilitate transparency and access to information held by both public and private bodies.

2.2 The primary purposes of the PAIA Manual are:

- **Promotion of Transparency and Accountability:** It ensures that citizens have the right to access records held by the state and private entities, as necessary for the exercise and protection of any rights.
- **Regulatory Compliance:** All public and private bodies (with certain exceptions) are required to compile and submit a PAIA manual that details the categories of records they hold and the process for accessing those records. This ensures that these entities operate within the framework of the law.
- **Procedure Outline:** The manual provides a clear procedure that must be followed by individuals or entities when requesting access to information, including the types of information that can be accessed, how to submit a request, and any associated fees.
- **Protection of Sensitive Information:** While the PAIA promotes transparency, it also has provisions that protect certain types of information from being disclosed, such as trade secrets or information that could harm the commercial interests of a private body.

- 2.3 Overall, the PAIA Manual in South Africa serves as a guide and a regulatory tool to ensure that the constitutional right to access information is realised, while also balancing the protection of certain categories of sensitive information.

3. THE INFORMATION REGULATOR

3.1 The Information Regulator (“Regulator”) is a statutory body established in terms of section 39 of the Protection of Personal Information Act 4 of 2013. The Regulator is, among others, empowered to monitor and enforce compliance by public and private bodies with the provisions of the Promotion of Access to Information Act 2 of 2000 (“PAIA”).

3.2 Contact information for the Regulatory Authority:

Visit their website	https://www.justice.gov.za/inforeg/index.html
Postal address	P.O Box 3153, Braamfontein, Johannesburg, 2017
Physical address	JD House, 27 Stiemens Street, Braamfontein, Johannesburg, 2001
Phone number	010 023 5200
Ask a general enquiry by email	PAIAComplaints@inforegulator.org.za
Lodge a complaint by email	PAIAComplaints@inforegulator.org.za

4. LIST OF ACRONYMS AND ABBREVIATIONS

The following acronyms and abbreviations are relevant to the PAIA manual:

- 4.1 “Body” Entity may it be a public or private company or organisation
- 4.2 “CEO” Chief Executive Officer
- 4.3 “DIO” Deputy Information Officer;
- 4.4 “IO” Information Officer;

4.5 “Minister”	Minister of Justice and Correctional Services;
4.6 “PAIA”	Promotion of Access to Information Act No. 2 of 2000 (as Amended;
4.7 “POPIA”	Protection of Personal Information Act No.4 of 2013;
4.8 “Regulator”	Information Regulator; and
4.9 “Republic”	Republic of South Africa
4.10 “Requester”	A "requester" refers to an individual, organisation, or entity that formally seeks or asks for information, data, or a specific service from another party or institution, often through an official process or channel. In the context of information access or data protection, a requester is someone who submits a request to access particular records or data held by an entity or public body.

5. FUNCTIONALITY OF THE PAIA MANUAL

This PAIA Manual is useful for the public to:

- 5.1 check the categories of records held by a body which are available without a person having to submit a formal PAIA request;
- 5.2 have a sufficient understanding of how to make a request for access to information of a body, by providing a description of the subjects on which the body holds information and the categories of information held on each subject;
- 5.3 know the description of the records of the body which are available in accordance with any other legislation;
- 5.4 access all the relevant contact details of the Information Officer and Deputy Information Officer (if applicable) who will assist the public with the records they intend to access;
- 5.5 know the description of the guide on how to use PAIA, as updated by the Regulator and how to obtain access to it;

5.6 know if the body will process personal information, the purpose of processing of personal information and the description of the categories of information subjects and of the information or categories of information relating thereto;

5.7 know the description of the categories of information subjects and of the information or categories of information relating thereto;

5.8 know the recipients or categories of recipients to whom the personal information may be supplied;

5.9 know if the body has planned to transfer or process personal information outside the Republic of South Africa and the recipients or categories of recipients to whom the personal information may be supplied; and

5.10 know whether the body has appropriate security measures to ensure the confidentiality, integrity and availability of the personal information which is to be processed.

6. KEY CONTACT DETAILS FOR ACCESS TO INFORMATION

6.1 Chief Information Officer (CIO):

Name: Petrus Johannes Serfontein (Peet)
Tel: 082 338 8330
Email: pserfontein@Brokstockmarkets.com

6.2 Deputy Information Officer (DIO):

Name: N/A
Tel: N/A
Email: N/A

6.3 Access to information general contacts:

Email: info@Brokstockmarkets.com or
compliance@Brokstockmarkets.com or
pserfontein@Brokstockmarkets.com

6.4 National or Head Office:

Postal Address: Same as the physical address
Physical Address: Suite E 017
Midlands Office Park
East Mount Quarry street
Midstream Estate
Gauteng
1692

Telephone: 012 0019206

Email: info@Brokstockmarkets.com or
compliance@Brokstockmarkets.com or
pserfontein@Brokstockmarkets.com

Website: www.Brokstockmarkets.co.za

7. GUIDE ON HOW TO USE PAIA AND HOW TO OBTAIN ACCESS TO THE GUIDE

7.1 The Regulator has, in terms of section 10(1) of PAIA, as amended, updated and made available the revised Guide on how to use PAIA ("Guide"), in an easily comprehensible form and manner, as may reasonably be required by a person who wishes to exercise any right contemplated in PAIA and POPIA.

7.2 The Guide is available in each of the official languages and in braille.

7.3 The aforesaid Guide contains the description of-

- the objects of PAIA and POPIA;
- the postal and street address, phone and fax number and, if available, electronic mail address of:
 - the Information Officer of every public body, and
 - every Deputy Information Officer of every public and private body designated in terms of section 17(1) of PAIA and section 56 of POPIA ;

7.4 The manner and form of a request for:

- access to a record of a public body contemplated in section 11 ; and
- access to a record of a private body contemplated in section 50 ;

7.5 the assistance available from the Information Officer of a public body in terms of PAIA and POPIA;

7.6 the assistance available from the Regulator in terms of PAIA and POPIA;

7.7 all remedies in law available regarding an act or failure to act in respect of a right or duty conferred or imposed by PAIA and POPIA, including the manner of lodging-

- an internal appeal;
- a complaint to the Regulator; and
- an application with a court against a decision by the Information Officer of a public body, a decision on internal appeal or a decision by the Regulator or a decision of the head of a private body;
- the provisions of sections 14 and 51 requiring a public body and private body, respectively, to compile a manual, and how to obtain access to a manual;
- the provisions of sections 15 and 52 providing for the voluntary disclosure of categories of records by a public body and private body, respectively;
- the notices issued in terms of sections 22 and 54 regarding fees to be paid in relation to requests for access; and
- the regulations made in terms of section 92 .

7.8 Members of the public can inspect or make copies of the Guide from the offices of the public and private bodies, including the office of the Regulator, during normal working hours.

7.9 The Guide can also be obtained-

- upon request to the Information Officer;
- from the website of the Regulator (<https://www.justice.gov.za/inforeg/>).

4.6 A copy of the Guide is also available in the following two official languages, for public inspection during normal office hours-

- English
- Afrikaans

8. CATEGORIES OF INFORMATION OF WHICH ARE AVAILABLE WITHOUT A PERSON HAVING TO REQUEST ACCESS

8.1 We make some information automatically available without needing to request access to them.

Type of information	How you can access it
Memorandum of incorporation (MOI)	BizPortal
Directors' names	BizPortal
Documents of incorporation	BizPortal
Banking details	Request by email
Legal documentation	Visit our website
Other relevant information	Visit our website
PAIA Manual - Promotion of Access to Information Act 2 of 2000 & Information Regulator Certificate	Visit our website

9. DESCRIPTION OF THE INFORMATION OF WHICH ARE AVAILABLE IN ACCORDANCE WITH ANY OTHER LEGISLATION

9.1 We hold the following subjects and categories of records in electronic or physical format, which we do not make automatically available.

You may request access to them:

- Establishment records
- Business records

- Financial records
- Tax records
- Personal records
- Agreements or contracts
- Regulatory documents
- Customer's information

9.2 We hold information (records) that are required by Section 52 of the Promotion to Access of Information Act 2 of 2000.

10. DESCRIPTION OF THE INFORMATION ON WHICH THE BODY HOLDS RECORDS AND CATEGORIES OF RECORDS HELD ON EACH SUBJECT

Classification	Categories of records
Strategic Documents, Plans, Proposals	Annual Reports, Strategic Plan, Annual Performance Plan.
Human Resources	- HR policies and procedures, Advertised posts, Employees records.
Legal Affairs	Contracts and Agreements, Legal Opinions Litigation Files, Compliance Reports.
Marketing & Communications	Marketing Campaign Plans, Press Releases Media Kits, Customer Feedback and Surveys
IT (Information Technology)	System Backup Logs, User Access Records, Software Licenses and Agreements, IT Project Management Files.
Health & Safety	Safety Training Manuals, Incident and Accident Reports, Equipment Inspection Logs, Emergency Evacuation Plans.
Facilities Management	Building Maintenance Logs, Equipment Inventory Lists, Space Allocation Charts, Utility Bills and Statements.

11. PROCESSING OF PERSONAL INFORMATION

11.1 The purpose or reasons for processing personal information are manifold:

- **Operational Efficiency:** To ensure smooth operations and effective service delivery to our clients and stakeholders by maintaining up-to-date records of contacts, preferences, and historical interactions.
- **Client Relationship Management:** To understand and meet the unique needs of our clients, which involves tailoring our services, products, and communications to their preferences and past interactions.
- **Regulatory and Legal Compliance:** To adhere to legal, regulatory, and contractual obligations that mandate the collection and processing of certain personal data. This includes maintaining records for tax purposes, employment regulations, and other statutory requirements.
- **Human Resources Management:** For recruitment, employment, and performance management purposes. This includes processing applications, administering employee benefits, managing payroll, and ensuring workplace safety.
- **Marketing and Outreach:** To communicate with our stakeholders about our products, services, events, and other opportunities that may be of interest. This might involve sending newsletters, promotional materials, and other forms of outreach.
- **Safety and Security:** To protect our organisation's assets, employees, and stakeholders by monitoring access to our facilities and systems, and to prevent fraud or unauthorized activities.
- **Research and Development:** To analyse aggregated data to identify trends, improve our offerings, and innovate new solutions.

11.2 Our organisation rigorously processes personal information in strict adherence to the relevant legal standards. We ensure that every category or type of personal information we handle is treated with the utmost care and in full compliance with the prescribed laws. This commitment ensures that we respect the privacy rights of individuals and safeguard their data, only accessing and using the specific categories of information necessary for our legitimate purposes. By aligning our data handling practices with legal requirements, we aim to foster trust and confidence among our stakeholders while maintaining transparency about the nature of the information being processed.

12. THE RECIPIENTS OR CATEGORIES OF RECIPIENTS TO WHOM THE PERSONAL INFORMATION MAY BE SUPPLIED

12.1 We may provide personal information to the following designated recipients.

Category	Recipients to whom the personal information may be supplied
Identity number and names, for criminal checks	South African Police Services.
Qualifications, for qualification verifications	South African Qualifications Authority.
Credit and payment history, for credit information	Credit Bureaus.

13. PLANNED TRANSBORDER FLOWS OF PERSONAL INFORMATION

13.1 Potential cross-border transfers of personal information may take place based on the geographical origin and requirements of the information. Such transferences are conducted with utmost caution, ensuring that data integrity and security are maintained across borders, while also adhering to international data protection standards and regulations.

14. GENERAL DESCRIPTION OF INFORMATION SECURITY MEASURES TO BE IMPLEMENTED TO ENSURE THE CONFIDENTIALITY, INTEGRITY AND AVAILABILITY OF THE INFORMATION

14.1 Our organisation is deeply committed to ensuring the confidentiality and integrity of the personal information we manage. To achieve this, we have adopted a comprehensive set of security safeguards, both currently implemented and under development. Specifically, these measures include:

- **Data Encryption:** All sensitive personal data stored in our databases and transmitted across networks are encrypted using advanced encryption algorithms. This ensures that

even in the unlikely event of a data breach, the accessed information remains unreadable and secure.

- **Anti-virus and Anti-malware Solutions:** We employ state-of-the-art anti-virus and anti-malware tools that continuously monitor and protect our systems from malicious software and unauthorized intrusions. These tools are regularly updated to detect and counteract the latest threats.
- **Access Control:** Only authorised personnel with a legitimate need to access specific categories of personal information are granted such access. This is achieved through stringent access controls, multi-factor authentication processes, and regular audits.
- **Firewalls:** Our network infrastructure is protected by robust firewalls that filter out unauthorised or suspicious traffic, ensuring only legitimate communication happens between our systems and external networks.
- **Data Backup and Recovery:** Regular backups of all personal information are taken and stored in secure, offsite locations. This ensures that in case of any data loss incidents, we can swiftly restore the data without compromising its integrity.
- **Regular Security Audits:** Our systems and processes undergo periodic security audits to identify potential vulnerabilities. Any identified areas of improvement are promptly addressed.
- **Employee Training:** Our staff undergo regular training sessions on data protection best practices, ensuring they are well-equipped to handle personal information responsibly and are aware of the latest threats and countermeasures.

15. PROCEDURE FOR REQUESTING ACCESS TO INFORMATION

15.1 We have appointed our Information Officer to deal with all matters relating to PAIA so we can comply with our PAIA obligations.

15.2 To request access to information (records), please complete the applicable Form attached to the end of this document.

15.3 Please submit the completed form (together with the relevant request fee) to our Information Officer's email address or our physical address.

15.4 Please ensure that the completed form:

- has enough information for the Information Officer to identify the requester, the requested information (records), and the form of access that is required,
- specifies the requester email address, postal address, or fax number,
- describes the right that the requester seeks to exercise or protect,
- explains why the requester need the requested information to exercise or protect that right,
- provides any other way the requester would like to be informed of our decision other than in writing, and
- provides proof of the capacity in which the requester is making the request and if the requester is making it on behalf of someone else (we will decide whether this proof is satisfactory).

15.5 If the requester does not use the standard form, we may:

- reject the request due to lack of procedural compliance,
- refuse it if you do not provide sufficient information, or
- delay it.

15.6 We will evaluate and consider all requests we receive. If we approve a request, we will decide how to provide access to the requester – unless the requester has asked for access in a specific form.

15.7 Publication of this manual does not give rise to any rights to access information records, except in terms of PAIA.

16. FEES ASSOCIATED WITH PAIA REQUESTS

16.1 When submitting a request, the requester must pay a **request fee** as the law prescribes. The prescribed fees must be paid in full before we will give such information. The requester will receive a notification from our Information Officer upon a request, setting out the application procedure.

16.2 If we grant the request, the requester will have to pay us a further **access fee** the law

prescribes that includes a fee for the time it takes us to handle the request, or if the time has exceeded the prescribed hours to search and prepare the record for disclosure. Our Information Officer will inform the requester if a deposit or full fee is payable for the access fee. The deposit may be up to one third of the prescribed access fee.

16.2 The access fee will provide for:

- the costs of making the information (record), or transcribing the record,
- a postal or courier fee (if applicable), and
- the reasonable time we need to search for the such information (record) and preparation of the information (record).

16.3 If the requester has paid the deposit and we refused the request, we will refund the requester the deposit amount. Until the full fees have been paid, we may withhold the information requested.

17. GROUNDS TO REFUSE PAIA REQUESTS

17.1 We may have to refuse the requester access to certain records in terms of PAIA to protect:

- someone else's privacy,
- another company's commercial information,
- someone else's confidential information,
- research information,
- the safety of individuals and property, or
- records privileged from production in legal proceedings.

17.2 We will notify the requester in writing whether the request has been approved or denied within 30 calendar days after receiving such a request. If we cannot find the information requested or it does not exist, we will notify the requester by way of affidavit that it is not possible to give access to that information.

17.3 If we deny the requester such a request for access to information, the requester may:

- apply to a court with appropriate jurisdiction, or
 - complain to the Information Regulator, for the necessary relief within 180 calendar days of us notifying you of our decision.
-

18. PAIA FORMS

18.1 The regulations clearly specify the use of designated forms for information requests. These prescribed forms are appended to the conclusion of this document. Requesters seeking information are strongly encouraged to utilise these attached forms to ensure accuracy and adherence to the set guidelines when making their requests.

19. INFORMATION REGULATOR REGISTRATION CERTIFICATE

19.1 The registration certificate from the Information Regulator, bearing the number 0019714/2023-2024-IRRT/PR, is attached at the end of this document. This certificate confirms compliance with the stipulations laid out under PAIA and satisfies specific criteria associated with access to information requests.

20. AVAILABILITY OF THE PAIA MANUAL

20.1 This manual is available in English in electronic format on our website and in physical format at the Company's office.

20.2 to any person upon request and upon the payment of a reasonable prescribed fee; and

20.3 to the Information Regulator upon request.

21. DOCUMENT OWNERSHIP AND REVISION PROTOCOL

21.1 This document is the property of Brokstock SA (Pty) Ltd, operating under the trade name BROKSTOCK. The company is recognised as an authorized financial services provider, compliant with the Financial Advisory & Intermediary Services Act (37 of 2002) and its subsidiary regulations, bearing FSP number 51404.

21.2 The Key Individual of Brokstock SA (Pty) Ltd formally endorses this document on behalf of the organisation's governing body. They also assume responsibility for the effective training of staff and the successful deployment of the guidelines contained within this document.

21.3 Modifications will be made to this document as and when significant changes are introduced.



REQUEST FOR A COPY OF THE PAIA GUIDE

FORM 1

[Regulation 2]

I,

Full names:			
In my capacity as (mark with "x"):	Information officer		Other
Name of *public/private body (if applicable)			
Postal Address:			
Street Address:			
E-mail Address:			
Facsimile:			
Contact numbers:	Tel.(B):		Cellular:

hereby request the following copy(ies) of the Guide:

Language (mark with "X")	No of copies	Language (mark with "X")	No of copies
<input type="checkbox"/> Sepedi		<input type="checkbox"/> Sesotho	
<input type="checkbox"/> Setswana		<input type="checkbox"/> siSwati	
<input type="checkbox"/> Tshivenda		<input type="checkbox"/> Xitsonga	
<input type="checkbox"/> Afrikaans		<input type="checkbox"/> English	
<input type="checkbox"/> isiNdebele		<input type="checkbox"/> isiXhosa	
<input type="checkbox"/> isiZulu			

Manner of collection (mark with "x"):

Personal collection	Postal address	Facsimile	Electronic communication (Please specify)

Signed at _____ this _____ day of _____ 20 _____

Signature of requester

FORM 1

REQUEST FOR A COPY OF THE PAIA

GUIDE [Regulations 3]

TO: The Information Officer

I,

Full names:			
In my capacity as (mark with "x"):	Information officer		Other
Name of *public/private body (if applicable)			
Postal Address:			
Street Address:			
E-mail Address:			
Facsimile:			
Contact numbers:	Tel.(B):		Cellular:

Hereby request the following copy (ies) of the Guide:

Language (mark with "X")		No of copies	Language(mark with "X")		No of copies
<input type="checkbox"/>	Sepedi		<input type="checkbox"/>	Sesotho	
<input type="checkbox"/>	Setswana		<input type="checkbox"/>	siSwati	
<input type="checkbox"/>	Tshivenda		<input type="checkbox"/>	Xitsonga	
<input type="checkbox"/>	Afrikaans		<input type="checkbox"/>	English	
<input type="checkbox"/>	isiNdebele		<input type="checkbox"/>	isiXhosa	
<input type="checkbox"/>	isiZulu				

Manner of collection (mark with "x"):

Personal collection	Postal address	Facsimile	Electronic communication (Please specify)

Signed at _____ this _____ day of _____ 20 _____

Signature of requester

FORM 2

REQUEST FOR ACCESS TO RECORD

[Regulation 7]

NOTE:

1. *Proof of identity must be attached by the requester.*
2. *If requests made on behalf of another person, proof of such authorisation, must be attached to this form.*

TO: The Information Officer

(Address)

E-mail address:

--

Fax number:

--

Mark with an "X"

☐

Request is made in my own name

☐

Request is made on behalf of another person.

PERSONAL INFORMATION				
Full Names				
Identity Number				
Capacity in which request is made (when made on behalf of another person)				
Postal Address				
Street Address				
E-mail Address				
Contact Numbers	Tel. (B):		Facsimile: <table border="1"><tr><td></td></tr></table>	
Cellular:				
Full names of person on whose behalf request is made (if applicable):				
Identity Number				
Postal Address				

Street Address			
E-mail Address			
Contact Numbers	Tel. (B)		Facsimile
	Cellular		
<p align="center">PARTICULARS OF RECORD REQUESTED</p> <p><i>Provide full particulars of the record to which access is requested, including the reference number if that is known to you, to enable the record to be located. (If the provided space is inadequate, please continue on a separate page and attach it to this form. All additional pages must be signed.)</i></p>			
Description of record or relevant part of the record:			
Reference number, if available			
Any further particulars of record			
<p align="center">TYPE OF RECORD</p> <p align="center"><i>(Mark the applicable box with an "X")</i></p>			
Record is in written or printed form			
Record comprises virtual images <i>(this includes photographs, slides, video recordings, computer-generated images, sketches, etc)</i>			
Record consists of recorded words or information which can be reproduced in sound			
Record is held on a computer or in an electronic, or machine-readable form			

FORM OF ACCESS <i>(Mark the applicable box with an "X")</i>	
Printed copy of record <i>(including copies of any virtual images, transcriptions and information held on computer or in an electronic or machine-readable form)</i>	
Written or printed transcription of virtual images <i>(this includes photographs, slides, video recordings, computer-generated images, sketches, etc)</i>	
Transcription of soundtrack <i>(written or printed document)</i>	
Copy of record on flash drive <i>(including virtual images and soundtracks)</i>	
Copy of record on compact disc drive <i>(including virtual images and soundtracks)</i>	
Copy of record saved on cloud storage server	

MANNER OF ACCESS <i>(Mark the applicable box with an "X")</i>	
Personal inspection of record at registered address of public/private body <i>(including listening to recorded words, information which can be reproduced in sound, or information held on computer or in an electronic or machine-readable form)</i>	
Postal services to postal address	
Postal services to street address	
Courier service to street address	
Facsimile of information in written or printed format <i>(including transcriptions)</i>	
E-mail of information <i>(including soundtracks if possible)</i>	
Cloud share/file transfer	
Preferred language <i>(Note that if the record is not available in the language you prefer, access may be granted in the language in which the record is available)</i>	

PARTICULARS OF RIGHT TO BE EXERCISED OR PROTECTED <i>If the provided space is inadequate, please continue on a separate page and attach it to this Form. The requester must sign all the additional pages.</i>	
Indicate which right is to be exercised or protected	

Explain why the record requested is required for the exercise or protection of the aforementioned right:	

FEES	
a)	A request fee must be paid before the request will be considered.
b)	You will be notified of the amount of the access fee to be paid.
c)	The fee payable for access to a record depends on the form in which access is required and the reasonable time required to search for and prepare a record.
d)	If you qualify for exemption of the payment of any fee, please state the reason for exemption
Reason	

You will be notified in writing whether your request has been approved or denied and if approved the costs relating to your request, if any. Please indicate your preferred manner of correspondence:

Postal address	Facsimile	Electronic communication (Please specify)

Signed at _____ this _____ day of _____ 20 _____

Signature of Requester / person on whose behalf request is made

FOR OFFICIAL USE

Reference number:	
Request received by: (State Rank, Name And Surname of Information Officer)	
Date received:	
Access fees:	
Deposit (if any):	

Signature of Information Officer

FORM 3
OUTCOME OF
REQUEST AND
OF FEES
PAYABLE
[Regulation 8]

Note:

1. If your request is granted the—
 - (a) amount of the deposit, (if any), is payable before your request is processed; and
 - (b) requested record/portion of the record will only be released once proof of full payment is received.
2. Please use the reference number hereunder in all future correspondence.

Reference number: _____

TO: _____

Your request dated _____, refers.

1. You requested:

Personal inspection of information at registered address of public/private body (*including listening to recorded words, information which can be reproduced in sound, or information held on computer or in an electronic or machine-readable form*) is free of charge. You are required to make an appointment for the inspection of the information and to bring this Form with you. If you then require any form of reproduction of the information, you will be liable for the fees prescribed in Annexure B.

OR

2. You requested:

Printed copies of the information (*including copies of any virtual images, transcriptions and information held on computer or in an electronic or machine-readable form*)

Written or printed transcription of virtual images (*this includes photographs, slides, video recordings, computer-generated images, sketches, etc*)

Transcription of soundtrack (*written or printed document*)

Copy of information on flash drive (*including virtual images and soundtracks*)

Copy of information on compact disc drive (*including virtual images and soundtracks*)

Copy of record saved on cloud storage server

Postal services to postal address	
Postal services to street address	
Courier service to street address	
Facsimile of information in written or printed format (<i>including transcriptions</i>)	
E-mail of information (<i>including soundtracks if possible</i>)	
Cloud share/file transfer	
Preferred language: (<i>Note that if the record is not available in the language you prefer, access may be granted in the language in which the record is available</i>)	

3. To be submitted:

Kindly note that your request has

been: ☐ Approved

☐ Denied, for the following reasons:

--

4. Fees payable with regards to your request:

Item	Cost per A4-size page or part thereof/item	Number of pages/items	Total
Photocopy			
Printed copy			
For a copy in a computer-readable form on:			
(i) Flash drive	R40.00		
• To be provided by requestor			
(ii) Compact disc	R40.00		
• If provided by requestor	R60.00		
• If provided to the requestor			
For a transcription of visual images per A4-size page	Service to be outsourced. Will depend on the quotation of the service provider		
Copy of visual images			
Transcription of an audio record, per A4-size	R24.00		
Copy of an audio record			
(i) Flash drive	R40.00		
• To be provided by requestor			
(ii) Compact disc	R40.00		
• If provided by requestor	R60.00		
• If provided to the requestor			
Postage, e-mail or any other electronic transfer:	Actual costs		
TOTAL:			

5. Deposit payable (if search exceeds six hours):

☐

Yes

☐

No

Hours of search	Amount of deposit (calculated on one third of total amount per request)

The amount must be paid into the following Bank account:

Name of Bank:

Name of account holder:

Type of account:

Account number:

Branch Code:

Reference Nr:

Submit proof of payment to:

Signed at _____ this _____ day of _____ 20 _____

Information officer

INTERNAL APPEAL FORM

FORM 4

[Regulation 9]

Reference Number:

PARTICULARS OF PUBLIC BODY				
Name of Public Body				
Name and Surname of Information Officer:				
PARTICULARS OF COMPLAINANT WHO LODGES THE INTERNAL APPEAL				
Full Names				
Identity Number				
Postal Address				
Contact Numbers	Tel. (B)		Facsimile	
	Cellular			
E-Mail Address				
Is the internal appeal lodged on behalf of another person?		Yes	<input type="checkbox"/>	No <input type="checkbox"/>
If answer is "yes", capacity in which an internal appeal on behalf of another person is lodged: <i>(Proof of the capacity in which appeal is lodged, if applicable, must be attached.)</i>				
PARTICULARS OF PERSON ON WHOSE BEHALF THE INTERNAL APPEAL IS LODGED <i>(If lodged by a third party)</i>				
Full Names				
Identity Number				
Postal Address				
Contact Numbers	Tel. (B)		Facsimile	
	Cellular			
E-Mail Address				

DECISION AGAINST WHICH THE INTERNAL APPEAL IS LODGED <i>(mark the appropriate box with an "X")</i>	
Refusal of request for access	
Decision regarding fees prescribed in terms of section 22 of the Act	
Decision regarding the extension of the period within which the request must be dealt with in terms of section 26(1) of the Act	
Decision in terms of section 29(3) of the Act to refuse access in the form requested by the requester	
Decision to grant request for access	
GROUNDS FOR APPEAL <i>(If the provided space is inadequate, please continue on a separate page and attach it to this form. all the additional pages must be signed)</i>	
State the grounds on which the internal appeal is based:	
State any other information that may be relevant in considering the appeal:	

You will be notified in writing of the decision on your internal appeal. Please indicate your preferred manner of notification:

Postal address	Facsimile	Electronic communication <i>(Please specify)</i>

Signed at _____ this _____ day of _____ 20 _____

Signature of Appellant/Third party

FOR OFFICIAL USE

OFFICIAL RECORD OF INTERNAL APPEAL

Appeal received by: <i>(state rank, name and surname of Information Officer)</i>				
Date received:				
Appeal accompanied by the reasons for the information officer's decision and, where applicable, the particulars of any third party to whom or which the record relates, submitted by the information officer:			Yes	<input type="checkbox"/>
			No	<input type="checkbox"/>
OUTCOME OF APPEAL				
Refusal of request for access. Confirmed?	Yes	<input type="checkbox"/>	New decision <i>(if not confirmed)</i>	
	No	<input type="checkbox"/>		
Fees (Sec 22). Confirmed?	Yes	<input type="checkbox"/>	New decision <i>(if not confirmed)</i>	
	No	<input type="checkbox"/>		
Extension (Sec 26(1)). Confirmed?	Yes	<input type="checkbox"/>	New decision <i>(if not confirmed)</i>	
	No	<input type="checkbox"/>		
Access (Sec 29(3)). Confirmed?	Yes	<input type="checkbox"/>	New decision <i>(if not confirmed)</i>	
	No	<input type="checkbox"/>		
Request for access granted. Confirmed?	Yes	<input type="checkbox"/>	New decision <i>(if not confirmed)</i>	
	No	<input type="checkbox"/>		

Signed at _____ this _____ day of _____ 20 _____

Relevant Authority



INFORMATION REGULATOR (SOUTH AFRICA)

Ensuring protection of your personal information
and effective access to information

Address: JD House, 27 Stiemens Street
Braamfontein, Johannesburg, 2001
P.O. Box 31533
Braamfontein, Johannesburg, 2017
Tel: 010 023 5200
Email: PAIAComplaints@infoRegulator.org.za

COMPLAIN T FORM

FORM 5 [Regulation 10]

NOTE:

1. This form is designed to assist the Requester or Third Party (hereinafter referred to as "the Complainant") in requesting a review of a Public or Private Body's response or non-response to a request for access to records under the Promotion of Access to Information Act, 2000 (Act No. 2 of 2000) ("PAIA"). Please fill out this form and send it to the following email address: PAIAComplaints@infoRegulator.org.za or complete online complaint form available at <https://www.justice.gov.za/inforeg/>.
2. PAIA gives a member of the public a right to file a complaint with the Information Regulator about any of the nature of complaints detailed in part F of this complaint form.
3. It is the policy of the Information Regulator to defer investigating or to reject a complaint if the Complainant has not first given the public or private body (herein after referred to as "the Body") an opportunity to respond to and attempt to resolve the issue. To help the Body address your concerns prior to approaching the Information Regulator, you are required to complete the prescribed **PAIA Form 2** and submit it to the Body.
4. A copy of this Form will be provided to the Body that is the subject of your complaint. The information you provide on this form, attached to this form or that you supply later, will only be used to attempt to resolve your dispute, unless otherwise stated herein.
5. The Information Regulator will only accept your complaint once you confirm having complied with the prerequisites below.
6. **Please attach copies of the following documents, if you have them:**
 - a. Copy of the form to the Body requesting access to records;
 - b. The Body's response to your complaint or access request;
 - c. Any other correspondence between you and the Body regarding your request;
 - d. Copy of the appeal form, if your complaint relate to a public body;
 - e. The Body's response to your appeal;
 - f. Any other correspondence between you and the Body regarding your appeal;
 - g. Documentation authorizing you to act on behalf of another person (if applicable);
 - h. Court Order or Court documents relevant to your complaint, if any.
7. If the space provided for in this Form is inadequate, submit information as an Annexure to this Form and sign each page.

CAPACITY OF PERSON/PARTY LODGING A COMPLAINT (Mark with an "X")

- ☐ Complainant Personally
- ☐ Representative of Complainant
- ☐ Third Party

PREREQUISITES

Did you submit request (PAIA form) for access to record of a public/private body?	Yes		No	
Has 30 days lapsed from the date on which you submitted your PAIA form?	Yes		No	
Did you exhaust all the internal appeal procedure against a decision of the Information officer of a public body?	Yes		No	
Have you applied to Court for appropriate relief regarding this matter?	Yes		No	

FOR INFORMATION REGULATOR'S USE ONLY				
Received by: (Full names)				
Position				
Signature				
Complaint accepted	Yes		No	
Reference Number				
Date stamp				

Postal address	Facsimile	Other electronic communication (Please specify)

PART A PERSONAL INFORMATION OF COMPLAINANT			
Full Names			
Identity Number			
Postal Address			
Street Address			
E-Mail Address			
Contact numbers	Tel. (B)		Facsimile
	Cellular		

PART B REPRESENTATIVE INFORMATION (Complete only if you will be represented. A Power of Attorney must be attached if complainant is represented, failing which the complaint will be rejected)			
Full Names of Representative			
Nature of representation			
Identity Number / Registration Number			
Postal Address			
Street Address			
E-mail Address			
Contact Numbers	Tel. (B)		Facsimile
	Cellular		

PART C THIRD PARTY INFORMATION (Please attach letter of authorisation)				
Type of Body	Private		Public	
Name of Public / Private Body				
Registration Number (if any)				
Name, Surname and Title of person authorised to lodge a complaint				
Postal Address				
Street Address				
E-mail Address				

Contact Numbers	Tel. (B):		Facsimile	
	Cellular			
PART D				
BODY AGAINST WHICH THE COMPLAINT IS LODGED				
Type of body	Private		Public	
Name of public / private body				
Registration number (if any)				
Name, surname and title of person you dealt with at the public or private body to try to resolve your complaint or request for access to information				
Postal Address				
Street Address				
E-mail Address				
Contact Numbers	Tel. (B):		Facsimile	
	Cellular			
Reference Number given (if any)				
PART E				
COMPLAINT				
<i>Tell us about the steps you have taken to try to resolve your complaint (Complaints should first be submitted directly to the public or private body for response and possible resolution)</i>				
Date on which request for access to records submitted.				
Please specify the nature of the right(s) to be exercised or protected, if a complaint is against a private body.				
Have you attempted to resolve the matter with the organisation?	Yes		No	
If yes, when did you receive it? (Please attach the letter to this application.)				
Did you appeal against a decision of the information officer of the public body?	Yes		No	
If yes, when did you lodge an appeal?				
Have you applied to Court for appropriate relief regarding this matter?	Yes		No	
If yes, please indicate when was the matter adjudicated by the Court? Please attach Court Order, if there is any.				
PART F				
DETAILED TYPE OF ACCESS TO RECORDS				
<i>(Please select one or more of the following to describe your complaint to the Information Regulator)</i>				
Unsuccessful appeal (Section 77A(2)(a) or section 77A(3)(a) of PAIA)	I have appealed against the decision of the public body and the appeal is unsuccessful.			
Unsuccessful application for condonation (Sections 77A(2)(b) and 75(2) of PAIA)	I filed my appeal against the decision of the public body late and applied for condonation. The condonation application was dismissed.			

Refusal of a request for access (Section 77A(2)(c)(i) or 77A(2)(d)(i) or 77A(3)(b) of PAIA)	<i>I requested access to information held by a body and that request was refused or partially refused.</i>	<input type="checkbox"/>
The body requires me to pay a fee and I feel it is excessive (Sections 22 or 54 of PAIA)	<i>Tender or payment of the prescribed fee.</i>	<input type="checkbox"/>
	<i>The tender or payment of a deposit.</i>	<input type="checkbox"/>
Repayment of the deposit (Section 22(4) of PAIA)	<i>The information officer refused to repay a deposit paid in respect of a request for access which is refused.</i>	<input type="checkbox"/>
Disagree with time extension (Sections 26 or 57 of PAIA)	<i>The body decided to extend the time limit for responding to my request, and I disagree with the requested time limit extension or a time extension taken to respond to my access request.</i>	<input type="checkbox"/>
Form of access denied (Section 29(3) or 60(a) of PAIA)	<i>I requested access in a particular and reasonable form and such form of access was refused.</i>	<input type="checkbox"/> <input type="checkbox"/>
Deemed refusal (Section 27 or 58 of PAIA)	<i>It is more than 30 days since I made my request and I have not received a decision.</i>	
	<i>Extension period has expired and no response was received.</i>	<input type="checkbox"/>
Inappropriate disclosure of a record (Mandatory grounds for refusal of access to record)	<i>Records (that are subject to the grounds for refusal of access) have inappropriately/unreasonable been disclosed.</i>	<input type="checkbox"/>
No adequate reasons for the refusal of access (Section 56(3)(a) of PAIA)	<i>My request for access is refused, and no valid or adequate reasons for the refusal, were given, including the provisions of this Act which were relied upon for the refusal.</i>	<input type="checkbox"/>
Partial access to record (Section 28(2) or 59(2) of PAIA)	<i>Access to only a part of the requested records was granted and I believe that more of the records should have been disclosed.</i>	<input type="checkbox"/>
Fee waiver (Section 22(8) or 54(8) of PAIA)	<i>I am exempt from paying any fee and my request to waive the fees was refused.</i>	<input type="checkbox"/>
Records that cannot be found or do not exist (Section 23 or 55 of PAIA)	<i>The Body indicated that some or all of the requested records do not exist and I believe that more records do exist.</i>	<input type="checkbox"/>
Failure to disclose records	<i>The Body decided to grant me access to the requested records, but I have not received them.</i>	<input type="checkbox"/>
No jurisdiction (exercise or protection of any rights) (Section 50(1)(a) of PAIA)	<i>The Body indicated that the requested records are excluded from PAIA and I disagree.</i>	<input type="checkbox"/>
Frivolous or vexatious request (Section 45 of PAIA)	<i>The Body indicated that my request is manifestly frivolous or vexatious and I disagree.</i>	<input type="checkbox"/>
Other (Please explain)		
<p align="center">PART G EXPECTED OUTCOME</p> <p>How do you think the Information Regulator can assist you? Describe the result or outcome that you seek.</p>		
<p align="center">PART H AGREEMENT S</p>		

The legal basis for the following agreements is explained in the Privacy Notice on how to file your complaint document. In order for the Information Regulator to process your complaint, you need to check each one of the checkboxes below to show your agreement:

☐

I agree that the Information Regulator may use the information provided in my complaint to assist it in researching issues relating to the promotion of the right of access to information as well as the protection of the right to privacy in South Africa. I understand that the Information Regulator will never include my personal or other identifying information in any public report, and that my personal information is still protected by the Protection of Personal Information Act, 2013 (Act No. 4 of 2013). I understand that if I do not agree, the Information Regulator will still process my complaint.

☐

The information in this Complaint Form is true to the best of my knowledge and belief.

☐

I authorize the Information Regulator to collect my personal complaint information (such as the information about me in this complaint form) and use it to process my human rights complaint relating to the right of access to information and / or the protection of the right to privacy.

☐

I authorise anyone (such as an employer, service provider, witness) who has information needed to process my complaint to share it with the Information Regulator. The Information Regulator can obtain this information by talking to witnesses or asking for written records. Depending on the nature of the complaint, these records could include personnel files or employer data, medical or hospital records, and financial or taxpayer information.

☐

If any of my contact information changes during the complaint process, it is my responsibility to inform the Information Regulator; otherwise my complaint could experience a delay or even be closed.

Signed at _____ this _____ day of _____ 20 _____

Complainant/Representative/Authorised person of Third party



**INFORMATION
REGULATOR**
(SOUTH AFRICA)

*Ensuring protection of your personal information
and effective access to information*

INFORMATION OFFICER REGISTRATION CERTIFICATE

Issued by the Information Regulator on 17/04/2025 at 10:00:11

ORGANISATION DETAILS

Organisation Name **BROKSTOCK SA**

Regulator Registration Number **2024-002116**

Regulator Registration Date **2024-05-14**

Organisation Type **PRIVATE ORGANISATION**

Private Organisation Type **PRIVATE COMPANY [(PTY) LTD]**

Public Organisation Type

INFORMATION OFFICER DETAILS

Full Name	Type	Appointment Date
SERFONTEIN, PETRUS JOHANNES	Information Officer	2024-05-14



Mr. M Mosala

Chief Executive Officer: Information Regulator